

FEB 03 2005

PTO/SB/97 08-001

Approved for use through 10/31/2002. QMB 0651-0031

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Deborah J. Mouzon

Typed or printed name of person signing Certificate

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must identify each submitted paper.

Attorney Docket # 1943.ALC
In re Application: RODRIGUES, Klein A Group Art 1773
Application Number: 09/920,498 Filed: 08/01/2001 Examiner: TARAZANO, Donald L.

For: HYDROPHOBICALLY MODIFIED SOLUTION POLYMERS AND THEIR USE IN
SURFACE PROTECTING FORMULATIONS

Enclosed are: Fee Transmittal FY '2005
Request to Correct Inventorship Under 37 C.F.R. § 1.1.48(a)
Petition to Correct Inventorship Under 37 C.F.R. § 1.1.48(a)
Substitute Declaration - 3 pgs.
Assignee's Consent Under 37 C.F.R. § 1.1.48(a)

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount
of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES
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PTO/SB/17 (12-04v2)

Approved for use through 07/31/2008. OMB 0651-0032
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 12/09/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). FEE TRANSMITTAL For FY 2005		Complete if Known Application Number 09/920,498 Filing Date 1 August 2001 First Named Inventor Rodriguez, Klein A. et al. Examiner Name Tarazano, Donald L. Art Unit 1773 Attorney Docket No. 1943.ALC	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27			
TOTAL AMOUNT OF PAYMENT (\$)			

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 14-0455 Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

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FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description

 Each claim over 20 (including Reissues)
 Each independent claim over 3 (including Reissues)
 Multiple dependent claims

Fee (\$)	Small Entity Fee (\$)
50	25
200	100
360	180

 Total Claims Extra Claims Fee (\$)
 - 20 or HP = _____ x _____ = _____

 Multiple Dependent Claims
 Fee (\$)
 Fee Paid (\$)

HP = highest number of total claims paid for, if greater than 20.

 Indep. Claims Extra Claims Fee (\$)
 - 3 or HP = _____ x _____ = _____

HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

 Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$)
 - 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Processing fee Under C.F.R. § 1.17(a)

Fees Paid (\$)

\$50.00

SUBMITTED BY		Registration No.	Telephone
Signature		37,889 (Attorney/Agent)	908-685-5433
Name (Print/Type)	David P. LeCroy		Date 02/02/05

This collection of information is required by 37 CFR 1.138. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Jointly filed with this Request are the following documents required under 37 C.F.R. § 1.48

(a):

- (1) a petition signed by Martin Crossman that includes a statement that the error in inventorship occurred without deceptive intention his part;
- (2) a declaration signed by the actual inventors as required by 37 C.F.R. § 1.63;
- (3) a fee transmittal authorizing the Office to charge the processing fees pursuant to Rule 17(q) to Applicants' Deposit Account; and
- (4) the written consent of National Starch and Chemical Investment Holding Corporation, an assignee of the subject application, as required by 37 C.F.R. § 3.73 (b).

Favorable and early action is respectfully solicited.

Respectfully submitted,

Dated:

2 February 2005

NATIONAL STARCH AND CHEMICAL
COMPANY
10 Finderne Avenue
Bridgewater, New Jersey 08807
Phone 908.685.5433
Fax 908.707.3706



David P. LeCroy
Registration No. 37,869
Attorney for Applicant(s)

Attorney Docket No. 1943.ALC
PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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FEB 03 2005

APPLICANTS: RODRIGUES, Klein A. *et al.*
SERIAL NO.: 09/920 498 GROUP ART UNIT: 1773
FILED: 1 August 2001 EXAMINER: TARAZANO, Donald Lawrence
TITLE: HYDROPHOBICALLY MODIFIED SOLUTION POLYMERS AND
THEIR USE IN SURFACE PROTECTING FORMULATIONS

CERTIFICATE of TRANSMISSION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office, facsimile no. 703-872-9399 on 03 February 2005.


Deborah Mouzon

Commissioner for Patents
Post Office Box 1450
Alexandria, Virginia 22313-1450

PETITION TO CORRECT INVENTORSHIP UNDER 37 C.F.R. § 1.48(a)

Dear Sir:

I, Martin Crossman, hereby declare –

The subject application was filed in the United States Patent and Trademark Office on 1 August 2001.

Following the filing of this application it was discovered that I should have been named as an inventor, along with Klein A. Rodrigues and Michael Eknoian.

The original and first inventors of the subject matter claimed and for which a patent is sought, as evidenced by the accompanying declaration (37 C.F.R. § 1.63), are believed to be Klein A. Rodrigues, Michael Eknoian and Martin Crossman.


The error in inventorship occurred without deceptive intent on my part.

I further declare that all statements made herein of my own knowledge are true and that all statement made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by a

fine or imprisonment or both under 1001 of Title 18 of the United States Code and such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

Dated: 27 Jan 2005



Martin Crossman

Attorney Docket No. 1943.ALC**DECLARATION FOR PATENT APPLICATION**☐ Original☐ Supplemental☒ Substitute☐ PCT

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below), or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

HYDROPHOBICALLY MODIFIED SOLUTION POLYMERS AND THEIR USE IN SURFACE PROTECTING FORMULATIONS

(Title of the Invention)

the specification of which (check one)

☐ Is attached hereto.☒ was filed on August 1, 2001 as Application Serial No. 09/920,498☐ Was described and claimed in PCT International Application No. -- filed on -- and as amended under PCT Article 19 on -- (if any).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 (a) - (d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified, by checking the box below, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Applications			Priority Claimed		Copy Attached	
Application Number	Country	Foreign Filing Date (MM/DD/YYYY)	YES	NO	YES	NO

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below and claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application(s) designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Attorney Docket #1943.ALC
 Declaration for Patent Application
 Page 2

Parent Application Number	Filing Date (MM/DD/YYYY)	Status (Mark Appropriate Column Below)		
		Patented	Pending	Abandoned

As a named inventor, I hereby revoke all prior powers and appoint those attorney(s) and/or agent(s) at Customer Number 35157 to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

I acknowledge the above-indicated attorneys and agents represent my employer (if I am an employee and this application has been or will be assigned to my employer) or the entity with which I have contracted (if I am an independent contractor and this application has been or will be assigned to such entity) and in such cases do not represent me individually. I further acknowledge I have not established, nor will I seek to establish, any personal attorney/client relationship with the above named attorneys in connection with this application and understand that, should I require legal representation, I will obtain such, at my expense, other than through the above indicated attorneys.

Send Correspondence to: ☒ Customer Number 35157

OR ☐ NATIONAL STARCH AND CHEMICAL COMPANY
 Post Office Box 6500
 10 Finderne Avenue
 Bridgewater, New Jersey 08807-3300

Direct telephone calls to: David P. LeCroy at (908) 685-5433

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Klein A. Rodrigues
 Inventor's signature Klein Rodrigues Date 1/27/05
 Residence 109 Grayson Road, Signal Mountain Tennessee 37377 Citizenship India
 Post Office Address 109 Grayson Road, Signal Mountain Tennessee 37377

Full name of second inventor Michael Eknoian
 Inventor's signature _____ Date _____
 Residence 8 Birchmont Lane, Warren, New Jersey 07059 Citizenship United States
 Post Office Address 8 Birchmont Lane, Warren, New Jersey 07059

Full name of third inventor Martin Crossman
 Inventor's signature Martin Crossman Date 27 Jan 2005
 Residence 1811 River Chase Road, Hixson, Tennessee 37343 Citizenship United Kingdom
 Post Office Address 1811 River Chase Road, Hixson, Tennessee 37343

Attorney Docket #1943.ALC
Declaration for Patent Application
Page 2

Parent Application Number	Filing Date (MM/DD/YYYY)	Status (Mark Appropriate Column Below)		
		Patented	Pending	Abandoned

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I acknowledge the above-indicated attorneys and agents represent my employer (if I am an employee and this application has been or will be assigned to my employer) or the entity with which I have contracted (if I am an independent contractor and this application has been or will be assigned to such entity) and in such cases do not represent me individually. I further acknowledge I have not established, nor will I seek to establish, any personal attorney/client relationship with the above named attorneys in connection with this application and understand that, should I require legal representation, I will obtain such, at my expense, other than through the above indicated attorneys.

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Full name of sole or first inventor Klein A. Rodrigues
Inventor's signature _____ Date _____
Residence 109 Grayson Road, Signal Mountain Tennessee 37377 Citizenship India
Post Office Address 109 Grayson Road, Signal Mountain Tennessee 37377

Full name of second inventor Michael Eknoian
Inventor's signature [Signature] Date 1/30/05
Residence 8 Birchmont Lane, Warren, New Jersey 07059 Citizenship United States
Post Office Address 8 Birchmont Lane, Warren, New Jersey 07059

Full name of third inventor Martin Crossman
Inventor's signature _____ Date _____
Residence 421 Kinsridge Drive, Hixson, Tennessee 37343 Citizenship United Kingdom
Post Office Address 421 Kinsridge Drive, Hixson, Tennessee 37343

PATENT APPLICATION
Attorney Docket No. 1943.ALC

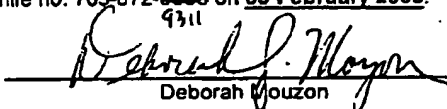
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APPLICANTS: RODRIGUES, Klein A. *et al.*
SERIAL NO.: 09/920 498 GROUP ART UNIT: 1773
FILED: 1 August 2001 EXAMINER: TARAZANO, Donald Lawrence
ENTITLED: HYDROPHOBICALLY MODIFIED SOLUTION POLYMERS AND
THEIR USE IN SURFACE PROTECTING FORMULATIONS

CERTIFICATE of TRANSMISSION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office, facsimile no. 703-872-9306 on 03 February 2005.


Deborah J. Mouzon

Commissioner for Patents
Post Office Box 1450
Alexandria, Virginia 22313-1450

ASSIGNEE'S CONSENT UNDER 37 C.F.R. § 1.48(a)

Dear Sir:

The undersigned officer of National Starch and Chemical Investment Holding Corporation, an assignee of the subject application by virtue of the assignment document executed on 20 July 2001 by inventors Klein A. Rodrigues and Michael Eknoian, hereby consents to the addition of Martin Crossman as inventor.

As signatory below, I hereby state that I am authorized to act on behalf of National Starch and Chemical Investment Holding Corporation.

Dated: JAN. 28, 2005

NATIONAL STARCH AND CHEMICAL
INVESTMENT HOLDING CORPORATION
1000 Uniqema Boulevard
New Castle, Delaware 19720

Barbara S. Curran

Barbara S. Curran, Secretary